

Performance Monitoring Planning Technical Assistance Report

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Prepared for
**United States
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Development**

Program Office (PRM)
USAID/Ethiopia

Prepared by
**John Mason
Phillip Church**



**CHECCHI AND
COMPANY
CONSULTING,
INC.**

1899 L Street, NW
Suite 800
Washington, D.C.
20036-3804

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INTRODUCTION

PURPOSE AND ACCOMPLISHMENTS OF THE TECHNICAL ASSISTANCE

A. Purpose

During a period of 13 working days in-country, a two-person technical assistance team worked with five Strategic Objective Teams (SOT's) and the Mission Program Office (PRM) to assist in completion of Performance Monitoring Plans (PMP) required for implementation of the USAID/Ethiopia Integrated Strategic Plan (ISP – 2001-2006). (A copy of the Scope of Work and the Work Plan developed and approved with PRM are contained in this report as Attachments A. and B.)

B. Background

USAID/Ethiopia has over the past few years developed two new strategies. These are:

SO 11: Mitigate the Effects of Disaster (MED) and
SpO 12: Southern Tier Initiative: Improved Livelihoods for Pastoralists and
Agropastoralists in Southern Ethiopia (STI)

The Mission has had four strategies with active programs in place for several years, as follows:

SO7: Rural Households Production and Productivity Increased (RHPP)
SO-08: Improved Family Health (ESHE-II)
SO-9: Quality and Equity in Primary Education Systems Enhanced (BESO-II) and
SO 10: More Effective Governance and Civil Society Developed

SO 10 is being merged into the other strategies through the mechanism of civil society participation, in order to enhance service levels provided under each strategy.

The Mission has had several technical assistance TDYs to support development of its PMP. The present TDY was the most recent concerted effort to bring along the PMP process to the point where individual PMPs would come close to being operational.

C. Methodology

The TA team met with each SOT and reviewed their PMPs, which were in various stages of preparation. The status of each PMP was gauged against progress toward completion of each PMP component and “scored” to identify areas where further work was required during the TA consultancy. The matrices on the following pages describe the TA team’s assessment of the status of each of the PMP components for each of the PMPs at the beginning of the consultancy and at the end, two weeks later.

USAID/Ethiopia PMP Preparation Status Matrix (June 4, 2002)

PMP Preparation Actions ²	Status of each PMP Strategic Objective (SO) ¹					
	SO-07	SO-08	SO-09	SO-10	SO-11	SpO-12
	RHPP	ESHE-II	BESO-II	DG*	MED	STI*
Results Framework Completed/Reviewed*	Yes/No	Yes/No	Yes/No	Yes/No	Yes/No	Yes/No
PMP Components						
Performance Indicators Selected	All	All	All	?	All	Most
Performance Indicators Defined	Most*	Most	All	?	Most	Some*
Baselines and Targets Proposed*	Some*	Most	Most	?	Some*	Some*
Data Quality Analysis (DQA) completed*	Some*	Some	Some*	?	Some*	None*
Data Documentation Compiled*	Some	Some*	Most*	?	Some	None*
Data Sources Identified	Most	Most	Most	?	Some*	Some*
Data Collection Methods Specified*	Some*	Some*	Some*	?	Some*	None*
Data Collection Schedule Determined	Most	Most	Most	?	None	None
PMP Mgt Responsibilities Assigned	Most	Most	Most	?	Most	None
Optional But Useful						
Data Analysis Plan In Place	Some*	Most	Most	?	Most	None*
Reporting Schedule Determined	Most	Most	All	?	Most	None
Collection Budget Costed Out	Most	Some	None	?	Some	None
Other						
Cross Cutting Issues/Funding Addressed ³	Some	Some	Some	?	Some*	Some*
Estimated Perf Ind Ref Sheet Completion	65%	80%	80%	?	60%	40%

* Indicates where Technical Assistance is most warranted.

1/ Per ADS 200 and 203 as revised, TIPS 6, 7, & 8 and the Performance Monitoring Toolkit

2/ "All" "Most", "Some" and "None" refer to the share of indicators that meet PMP requirements as of current date

3/ Cross cutting issues/funding: Human/Institution Capacity Building; hunger/nutrition; HIV/AIDS; Title II Food Aid and Child Survival and Disease (CSD) Funds

USAID/Ethiopia PMP Preparation Status Matrix (June 17, 2002)

PMP Preparation Actions ²	Status of each PMP Strategic Objective (SO) ¹					
	SO-07 RHPP	SO-08 ESHE-II	SO-09 BESO-II	SO-10 DG*	SO-11 MED	SpO-12 STI
Results Framework Completed/Reviewed	Yes/Yes	Yes/Yes	Yes/Yes	Yes/No	Yes/Yes	Yes/Yes
PMP Components						
Performance Indicators Selected/Defined	All	All	All	?	All	Most
Critical Assumptions Identified	Most*	All	All	?	None	None
Baselines and Targets Proposed	Some*	Most	Most	?	Some*	Some*
Data Quality Analysis (DQA) completed	Some*	Most	Some*	?	Some*	Some*
Data Documentation Compiled	Some	Most	All	?	Some	Some*
Data Sources Identified	Most	Most	All	?	Most	Most
Data Collection Tools/Methods Specified	Some	All	All	?	Some	Some
Data Collection Schedule Determined	Some	Most	Most	?	All	Some
Cross-cutting Issues Addressed ³	None*	Some*	Some*	?	None	All
PMP Mgt Responsibilities Assigned	Most	Most	Most	?	Most	Most
Optional But Useful						
Data Analysis Plan In Place	Some	Most	Most	?	Most	Some
Reporting Schedule Determined	Most	Most	All	?	Most	Some
Collection Budget Costed Out	Some	Some	Some	?	Some	Some
Overall Status as of current date						
Estimated Perf Ind Ref Sheet Completion	80%	95%	90%	?	80%	80%

* Indicates where the focus of next steps is most warranted.

1/ Per ADS 200 and 203 as revised, TIPS 6, 7, & 8 and the Performance Monitoring Toolkit

2/ "All" "Most", "Some" and "None" refer to the share of indicators that meet PMP requirements as of current date

3/ Cross cutting issues/funding: Human/Institution Capacity Building; hunger/nutrition; HIV/AIDS; Title II Food Aid and Child Survival and Disease (CSD) Funds

These matrices suggest that significant progress has been made in all of the SO PMP processes (except for DG, for the reason mentioned earlier). SOs that were already well advanced (ESHE and BESO) made sufficient progress to make them operational in most aspects. Progress in SOs that were only partially advanced (the new ones such as STI and MED, as well as the less recent RHPP) has been significant in getting their PMPs closer to operational. Since all three of these SOs are in the process of establishing new partners, they need more work in such aspects as establishing baselines and setting targets. A fuller assessment of progress in PMP development for each PMP appears later in this Chapter.

Certain constraints are noted that may have affected the progress of particular PMPs. One is travel and other Mission commitments of several key SOT members, which precluded their participation in some of these critical working group sessions and in the satisfactory completion of certain PMP components. Moreover, the sequencing of program actions – procurement of grantees and contractors for PMP implementation, availability of critical GFDRE data sources such as agriculture sample survey data, also precluded completion of some critical PMP components such as Data Quality Analysis.

D. Additional Deliverables

In addition to support provided in advancing the Mission's PMP process, the TDY also included the design and implementation of a PMP Training Course, facilitated by the two consultants on June 11-12 for 25 USAID staff and partners. Twenty-one partner organizations - grantees, contractors and GFDRE agencies - sent representatives to the workshop. (The PMP Workshop Agenda, List of Participants and Workshop Notebook are included in Attachment C.)

Another purpose of the consultancy was to develop a PMP Preliminary Database Design. USAID is beginning to arrange for the management of PMP indicator data in an MSAccess relational database environment. The consultant team was requested to prepare a preliminary design for such a functional database. (That preliminary design of a PMP database, along with a draft SOW for building, deploying, testing and training in its use, is included as Attachment D to this report.)

Also requested under the SOW are two additional tools, one of which is only indirectly linked to the PMP process, the other of which is directly tied to that process. First is a format for annual collection of agency-wide performance measures. This has only limited overlap with the PMP, since agency-wide measures are often at a higher level than Mission SOs or otherwise stated in basic qualitative, namely affirmative or negative, terms. SO teams do not manage such Agency-wide performance indicators *per se*. This format is intended to serve as a way for PRM to organize its accessing of data that enable it to report on those indicators. (That document is presented in Attachment E.)

Last is a matrix-based presentation of Mission crosscutting themes and measures. These themes are HIV/AIDS, Nutrition, Title II Food, capacity building, and gender. The matrix shows where indicators are used in common by SOs. Recommended next steps on how to employ this matrix are that the SO teams sharing specific measures need to meet to agree on how to define and

report on those indicators and that designated SO teams take the lead in dealing with each theme. (This document is presented in Attachment F.)

E. Status Updates on All Strategic Objective Performance Monitoring Plans

Note: Common to all the SO PMP's at this point is the need for more rigorous data quality analysis. Several of the SO Teams recognized this need but argued that this should wait until cooperating sponsors had been identified and were in place so that they could participate in this process. The Team recognizes the value of partner participation and endorses scheduling data quality analysis so as to involve as many stakeholders as possible. The team recognizes that additional training and external guidance appears warranted to build capacity both in USAID and in partners to address indicator data quality, collection, analysis and reporting. This training and technical assistance should be scheduled within a framework similar to the present SOW for PMP development, providing sufficient time to engage both USAID and partner staff in the process.

1. Rural Households Production and Productivity Increased (SO-7 RHPP)

a. Work Accomplished

The PMP TA team provided 3.0 person days of support to RHPP PMP preparation, nearly all of which was in review and writing sessions with SOT technical staff. (The RHPP SOT leader was available for one two-hour session during that time.) RHPP PMP drafting work was slowed by travel and administrative requirements of RHPP SOT members and by their participation in the PMP Training Workshop.

b. Observations

At the outset of the PMP TA consultancy, the RHPP PMP consisted only of a set of roughly crafted tables that approximated the format of the Performance Indicator Reference Sheets. There was also a very preliminary draft introduction and results framework discussion section. TA support focused initially on applying the Results Framework and Statement Assessment worksheets to the RHPP Results Framework SO's and Intermediate Results statements and definitions. With one modification to one of the intermediate results, the RHPP Results Framework was recommended for approval.

c. Present Status

Working sessions and independent writing and editing by the TA team and SOT members resulted in the draft RHPP PMP that accompanies this PMP TA Consultancy Report. The draft RHPP now consists of a fully integrated document, with fewer and more focused Performance Indicator Reference Sheets. These reference sheets have also been edited to reflect more closely the data limitations and actions required for completing each PMP.

The RHPP SO Team could do well to invest more time in indicator definition and measurement. The RHPP SO Team leader contended that many of the current indicators were drawn from

RHPP's predecessor SO and for consistency in measuring change, should not be altered. Still the PMP TA team believes further refinement is warranted. "Food" is too broad for a measure of available calories, for example. A similar measurement problem resides with "income" and market competition. A balance between clarity of terms and expediency in data collection needs to be struck.

Further, the TA Team agrees with USAID mission concerns and observations – subsequent to the PMP-TA, that farmer cooperative "market share" rather than "market volume" would be a better measure of the IR-2 for "market competition". The TA team discussed this option with the RHPP SOT and it was agreed that during data quality analysis work, efforts would be made to assess the reliability of total grain production statistics for the 'woreda' and zonal markets in which cooperatives will be operating.

d. Next Steps

- Conduct a Data Quality Assessment (DQA) for all remaining indicators including DQA date of scheduled completion.
- Estimate and assemble baseline and target figures for indicators dependent on the current on-going National Agriculture Sample Survey;
- Define and formulate remaining indicators related to market integration, competition and income source diversification - these will require construction of both qualitative and quantitative measures and methods for collection of raw data and for calculation performance measures;
- Identify data collection responsibilities and costs of collection particularly in cases where partners are involved and identifying data collection skill levels and training needs of field staff who will be engaged in data collection;
- Include the schedule for data collection and submission, indicating the frequency and level of detail and disaggregation of data collection and reporting and arranging for any needed orientation and training for field staff responsible for data collection, assembly and submission to USAID;
- Assign SOT staff responsible for receiving and reviewing indicator data submitted by partners to USAID for performance indicator measurement;
- Collaborate in PMP database development to identify the performance indicator data entry, storage and reporting needs specific to RHPP in database construction.

2. Improved Family Health Strategic Objective (SO-08 ESHE II)

a. Work Accomplished

A full review of the ESHE II PMP led to several steps essential to bringing this already developed plan as far along as possible. Since ESHE II is a continuation of an earlier program, not as much initial groundwork was necessary as for some other PMPs. This strategy is, however, quite robust, with numerous sub-IRs and indicators requiring a full assessment. A review of the results framework was completed, statements of critical assumptions developed, an assessment of the adequacy of indicators carried out, and an analysis of data quality made.

Toolkit worksheets 3 and 4, presented at the end of each individual PMP, reflect the work on assessment of results and the results framework. Furthermore, baselines and targets for most of the indicators were established. In the course of the review, the ESHE II SO Team paid particular attention to data limitations and actions taken to address these. All reference sheets were completed in addition to the above-mentioned data tables.

b. Observations

The ESHE II team has made considerable progress in addressing its PMP needs. This team demonstrated a high level of cohesion and worked together very effectively in elaborating its PMP. Even in the absence of the Division Chief of HPN, the team worked spiritedly towards achieving the goal of a full-blown plan. Even though two members of the 3-person PMP team left for Nairobi for a workshop during the second week of the TDY, they made a concerted effort to complete most of the required work. At the initial stages of PMP technical assistance, the ESHE PMP was approximately four-fifths completed. (See the PMP Preparation Status Matrix dated June 4, 2002.)

c. Present Status

As of June 14, 2002, the ESHE PMP is quite close to being an operational plan.

d. Next Steps

- Conduct a Data Quality Assessment (DQA) for all indicators indicating DQA date of completion.
- Complete planned/actual tables for remaining indicators, using sheets as presented in original PMP
- Attach Policy Index at end of PMP
- Share with CSs your PMP for their review and have them ground-truth some of the measures
- In cooperation with ESHE SO Team partners (CSs), run a pretest on a sample of indicators to see how well the plan works to designate what data should be collected, and how well it works in accessing and analyzing such data (bring partners into the shared process of collecting and analyzing performance)
- Identify data collection responsibilities and costs of collection particularly in cases where partners are involved and identify data collection skill levels and training needs of field staff who will be engaged in data collection;
- Determine a schedule for data collection and submission, indicating the frequency and level of detail and disaggregation of data collection and reporting and arranging for any needed orientation and training for field staff responsible for data collection, assembly and submission to USAID;
- Assign SOT staff responsible for receiving and reviewing indicator data submitted by partners to USAID for performance indicator measurement; and
- Collaborate in PMP database development to identify the performance indicator data entry, storage and reporting needs specific to ESHE SO in database construction.

3. Quality and Equity in Primary Education Systems Enhanced (SO-09 BESO-II)

a. Work Accomplished

A full review of the BESO II PMP was productive in bringing this already developed plan as far along as possible. BESO, like ESHE, is a continuation of an earlier program. Therefore, less initial groundwork was necessary compared to some other PMPs. Work accomplished included a review of the results framework, a thorough discussion of critical assumptions, an assessment of the adequacy of indicators, and an analysis of data quality made. Toolkit worksheets 3 and 4, attached to the BESO PMP document, reflect the work on assessment of results and the results framework.

Baselines and targets were determined for most of the IRs, with the exception of some of the new indicators developed for new components of the BESO strategy. The BESO II SO Team was especially attentive to the data limitations involved in measuring its newly introduced active learning methods program component. It recommended practical steps to deal with these limitations.

b. Observations

The BESO-II team has made formidable progress in addressing its PMP needs. The HID Education Advisor was especially instrumental in spearheading the effort in moving this PMP along. At the initial stages of PMP technical assistance, the BESO PMP was approximately four-fifths completed. (See the PMP Preparation Status Matrix dated June 4, 2002.)

c. Present Status

As of June 14, 2002, the BESO-II PMP is estimated to be approximately 90% completed.

d. Next Steps

- Conduct a Data Quality Assessment (DQA) for all remaining indicators including scheduled DQA date of completion.
- Complete planned/actual data tables for remaining baseline and targets
- Share with CSs your PMP for their review and have them ground-truth some of the measures Identify data collection responsibilities and costs of collection particularly in cases where partners are involved and identify data collection skill levels and training needs of field staff who will be engaged in data collection;
- Determine a schedule for data collection and submission, indicating the frequency and level of detail and disaggregation of data collection and reporting and arranging for any needed orientation and training for field staff responsible for data collection, assembly and submission to USAID;
- Assign SOT staff responsible for receiving and reviewing indicator data submitted by partners to USAID for performance indicator measurement; and
- Collaborate in PMP database development to identify the performance indicator data entry, storage and reporting needs specific to BE SO in database construction.

In cooperation with BESO SO Team partners (CSs), run a pretest on a sample of indicators to see how well the plan works to designate what data should be collected, and how well it works in accessing and analyzing such data. (Bring partners into the shared process of collecting and analyzing performance).

4. Mitigate the Effects of Disaster (SO-11 MED)

a. Work Accomplished

The PMP TA team provided approximately 3.0 person days of support to MED PMP preparation in review with MED SOT technical staff of the existing PMP draft, particularly the Results Framework Statement consistency and logic and Indicator Data Reference Sheet accuracy and completion and in examination of cross-cutting issues, database design and related background document review. The MED PMP working sessions consisted largely of only one or two of the MED SOT members due to scheduling conflicts; still substantial progress was made in assessing options for both IR and performance indicator definition

At the outset of the PMP TA consultancy, the MED PMP draft included an introduction of the MED results framework and indicator reference sheets for each of the four intermediate results and for the strategic objective. Active engagement of cooperating sponsors was evident in the draft MED PMP. Critical assumptions have been identified and included as part of activity design documents and could be added to the PMP for future reference during MED implementation. Further, some indicators still warrant further refinement in definition and methods of measurement to remove any confusion on the part of those who will be responsible for their tracking and reporting.

b. Observations

TA support focused initially on applying the Results Framework and Statement Assessment worksheets # 3 & #4 to the MED SO and Intermediate Results statements and definitions. With one modification and a few suggestions for clarification during implementation, the MED Results Framework the TA team and MED SOT recommended the results framework for approval. Working sessions and independent writing and editing by the TA team and SOT members resulted in the draft MED PMP that accompanies this PMP TA Consultancy Report.

c. Present Status

The draft MED PMP now consists of a fully integrated document, with more focused and better defined Performance Indicators as detailed in the Reference Sheets. Some indicator measures have been dropped and altered in this process. These reference sheets also reflect the data limitations inherent in relief to development activities where crises and response levels cannot be predicted ahead of time.

d. Next steps

For the MED SOT PMP completion, most of which can be undertaken during implementation, are the following:

- Conduct a Data Quality Assessment (DQA) for all indicators indicating DQA date of completion;
- Complete planned/actual tables for remaining indicators, using sheets as presented in original PMP – an planned August 2002 baseline survey will address many of these requirements;
- Define and formulating qualitative or quantitative measures and collection methods for a few remaining performance indicators;
- Identify data collection responsibilities and costs of collection, particularly in cases where partners are involved, and determining data collection skill levels and training needs of field staff who will be engaged in data collection;
- Specify schedules for data collection and submission to USAID by partners, with frequency and level of detail and disaggregation of data required;
- Assign SOT staff responsible for receiving and reviewing indicator data submitted by partners to USAID for performance indicator measurement; and
- Collaborate in PMP database development to identify the performance indicator data entry, storage and reporting needs specific to MED database construction.

5. Southern Tier Initiative: Improved Livelihoods for Pastoralists and Agro-Pastoralists in Southern Ethiopia (SpO-12 STI)

a. Work Accomplished

The PMP TA team provided 4.0 person days of support to STI SpO PMP preparation, including two half days in review and writing sessions with SOT technical staff and the balance in review of drafts, addressing cross cutting themes and indicator definition and measurement issues. The STI SpO SOT leader was available for most sessions but had serious time constraints based on other mission administrative commitments. Because the STI SpO team is composed of representatives from other SOT's it was not possible to get all SOT members together due to scheduling conflicts.

b. Observations

At the outset of the PMP TA consultancy, the STI SpO PMP consisted only of a rough indicator matrix and components assembled from other STI documentation. While the SPO Team Leader assembled a first PMP draft, the TA team focused initially on applying the Results Framework and Statement Assessment worksheets to the STI SpO SO and Intermediate Results statements and definitions. With one modification and a few suggestions for clarification during implementation, the STI SpO Results Framework was recommended for approval, subject to rewording of two IR's and revision of a number of indicators.

c. Present Status

Working sessions and independent writing and editing by the SpO Team leader resulted in the draft PMP that accompanies this PMP TA Consultancy Report. Thanks to the SpO Team leader, the draft STI SpO now consists of a fully integrated document, with more focused and better-defined Performance Indicator Reference Sheets. Several of these reference sheets have also been edited to reflect more closely the data limitations and actions required for completing PMP.

d. Next Steps as part of on-going PMP development and implementation

- Conduct a Data Quality Assessment (DQA) for all indicators indicating DQA date of completion.
- Complete planned/actual tables for remaining indicators, using sheets as presented in original PMP
- Clarify the critical assumptions that underlie the results framework;
- Estimate and assemble baseline and target figures for indicators dependent on negotiation and initiation of a cooperative agreement to launch STI activities;
- Define and formulate remaining indicators, methods for collection of raw data and procedures for calculation of performance measures;
- Identify data collection responsibilities and costs of collection particularly in cases where partners are involved and identify data collection skill levels and training needs of field staff who will be engaged in data collection;
- Include the schedule for data collection and submission, indicating the frequency and level of detail and disaggregation of data collection and reporting and arranging for any needed orientation and training for field staff responsible for data collection, assembly and submission to USAID;
- Assign SOT staff responsible for receiving and reviewing indicator data submitted by partners to USAID for performance indicator measurement; and
- Collaborate in PMP database development to identify the performance indicator data entry, storage and reporting needs specific to STI SpO in database construction.

F. Organization and Presentation of the Report

This report transmits copies of each of the five draft SO PMP's in the stage of completion they had reached following group sessions of the PMP and SOT members. It also transmits the additional work provided under the SOW, in the form of attachments. Each of the PMPs is presented as a separate file, so as to reduce the potential cumbersome quality of a single document of over 500 pages.

Attachment A

Scope of Work for Performance Monitoring Plan (PMP) Technical Assistance

I. Background

USAID/Ethiopia is implementing its Integrated Strategic Plan (ISP), covering FYs 2001 – 2006. The ISP is comprised of five Strategic Objectives (SOs) and one Special Objective (SpO), all commencing in FY 2001 and ending in September 2007. The Mission is in need of urgent assistance to the effort towards measuring results.

The Mission's SOs focus on agriculture and natural resource management that primarily focuses on household food security, market integration and micro enterprise development; health and nutrition; basic education; democracy and governance; disaster mitigation; and improving the livelihood of pastoralists. The sectors have been covered by the following Objectives: Rural Household Production and Productivity Increased (RHPP), Improved Family Health (ESHE II), Quality and Equity in Primary Education System Enhanced (BESO II), More Effective Governance and Civil Society Developed (DG), Mitigate the Effects of Disaster (MED), and Improved Livelihoods for Pastoralists and Agro-Pastoralists in Southern Ethiopia (STI- SpO). These objectives are bounded by four cross-cutting themes: nutrition, human and institutional capacity development, HIV/AIDS, and integrating Title II activities into development programs.

Regarding the PMP preparation for the new SOs, the Mission identified preliminary performance measures for each SO during the ISP preparation and these have been further elaborated during the activity design stage. While some SO Teams have nearly finished drafting their PMPs and mainly require technical assistance to ensure that performance indicators meet the necessary criteria, and baselines and targets are plausible, other SO Teams may require substantial technical support at all stages. Some of the intermediate results in the SOs and SpO that are of a cross-cutting nature are financed by a variety of DA and CSD funding spigots and hence require special attention to reporting requirements.

The PRM Office has prepared a "Status of PMP Development" table detailing the progress with regard to indicators at SO and IR level (Annex 1). This gives an idea of where SO teams are in the process of developing their PMPs and implementing a performance measurement system.

The Mission has PMPs for the old SOs that terminated at the end of September 2001. The performance indicators developed for those SOs have been used for FY 2003 R4 reporting and FY 2002 Budget Justification. These data are available on the R4 application Access database and as word documents. The Mission proposes to employ the Microsoft Access database management system for the documentation and reporting of the PMPs.

II. Objectives

The objectives of the technical service are to:

1. Establish functional Performance Monitoring Plan for all USAID/Ethiopia Strategic Objectives, which will involve revising indicators, reviewing baseline data, assessing indicator and data quality, setting targets and establishing a system for data analysis, review and use.
2. Provide technical assistance to each SO team, as required, on results framework and PMP development/refinement.
3. Conduct a two-day workshop for Mission and partners staff in PMP development.
4. Make a presentation/wrap-up of the TDY prior to departure.
5. Produce a concise document with PMPs and worksheets submitted within two weeks of return to the US.

III. General Task

The Contractor will assist SO Teams to have finalized PMPs that conform with the ADS 200 Series, as revised, and CDIE guidance (TIPS 6,7, & 12) for indicator and data quality. While emphasis is on completion of PMPs and establishment of a functioning Performance Monitoring System, the Contractor will also conduct training session on PMP development for 2 days for Mission and selected partners' technical staff.

IV. Specific Tasks

1. Develop a work plan to achieve deliverables in consultation with the SO Teams and PRM Office, within two days of arrival at post.
2. Review of pertinent documents, including but not limited to the Integrated Strategic Plan, Annual Reports, draft PMPs and portfolio reviews.
3. Review Results Framework (attached) and complete the Results Statement Assessment (Worksheet 3)¹ and Results Framework Assessment (Worksheet 4). Review Development Hypotheses and Critical Assumptions with SO teams to determine if the PMPs provide necessary and sufficient information required to ensuring managing for results.
4. Ensure SO Teams have selected appropriate performance indicators with detailed definitions and work out the necessary details required for PMP preparation in

¹ Worksheets refer to the appendixes of the “Performance Management Toolkit.”

accordance with the requirements of the latest revised ADS 200-203 Series and relevant CDIE guidance,

5. Review list of potential indicators, select best indicators, and document indicators in the PMP. This will involve undertaking performance indicator quality assessment (Worksheet 5).
6. Review potential data sources, select data collection option, and develop data collection tools. (Worksheet 6)
7. Review current USAID guidance on the definition and use of the Child Survival and Disease Funds and any similar guidance parameters on the use of funds to ascertain any special reporting requirements that may influence PMPs for any SO or SpO using such funds.
8. Conduct a data quality assessment for the data included in the FY 2001 Annual Report, and plan for the rest. (Worksheet 7)
9. Establish/review baselines and targets, preferably, with full buy-in of partners ensured (and documented).
10. Consult with appropriate SO Teams on cross-cutting issues and cross-financing activities to determine the appropriate indicators to be used and shared among teams.
11. Conduct a PMP development training session (2 days) for up to 20-25 USAID and partner organizations staff members with content to be determined by task A, above. (The Mission staff has already received the “Performance Management Toolkit.”)
12. Submit draft PMP for all SOs for review and comment by USAID/Ethiopia.
13. Assist the Mission SO Teams and Mission management in the implementation of effective monitoring systems based on approved PMPs.
14. Advise and develop preliminary design for practical use of Access database tracking tool for SO team and Mission management and in overall management for results.
15. Submit final PMPs for all SOs.

V. Qualifications

- Extensive knowledge in the sectors covered by the ISP, with emphasis on Democracy and Governance, Nutrition, Food Security, Conflict, and Relief to Development Continuum.
- Direct experience in PMP preparation following ADS 200 Series and CDIE guidance.
- Experience in training in cross-cultural context.
- Expert knowledge of Microsoft Access.

VI. Roles and Relationships

The Contractor will work under the direction and the guidance of the Chief of Program Office (PRM). The Mission's Monitoring and Evaluation Officer will work closely with the Contractor. The Contractor will receive technical guidance from the USAID/PRM in consultation with each of the Strategic Objective Teams. The team leader will be responsible for the submission of assessment of the status of PMPs for each SO and initial work plan, regular updates of the process, and the submission of the final PMPs.

VII. Deliverables/Reporting Requirements

The Contractor will provide the following deliverables to the mission:

1. Assess status of SOT's PMPs, and submit draft work plan within two days of arrival at post. (2 work days)
2. Technical Assistance to each SO team on PMP development/refinement. (6 work days)
3. Conduct a two-day PMP training session for 20-25 participants. (2 work days)
4. Submit draft PMPs for all SOs. (3 work days)
5. Make a presentation/wrap-up of the TDY prior to departure.
6. Submit final PMPs for all SOs submitted within two weeks of return to the US.

VIII. Level of Effort and Timing

The services of the two consultants should start on/about 04/01/02 and work in country over 15 consecutive calendar days. Although the Mission workweek is Monday to Friday Noon, the Contractor is expected to work on Saturdays.

The level of effort is 26 person-days (2 persons x 13 work-days)

IX. USAID Logistic Support

The Contractor will be provided with office space and equipment for the duration of the contract.

ATTACHMENT A1 (Part of SOW): Status of PMP Development (as of 4 March, 2002)

Results Framework	Indicator	Baseline/ Targets	Source of data / partners	Comment
SO 7: RURAL HOUSEHOLD PRODUCTION AND PRODUCTIVITY INCREASED, RHPP	1. Food availability in target areas 2. Amhara production of cereals 3. Household cash income in target areas 4. Nutritional status of children (stunting)	established /set		Indicators from the ISP.
IR1 – Integration of food, livestock and factor markets increased	1. Market price information system established and functional 2. National Agricultural Census completed			Indicators from the ISP
IR2 – Competition in agricultural and output markets increased	1. Volume of inputs marketed through Cooperatives 2. Volume of crops marketed through Cooperatives 3. The volume of coffee exported directly by cooperatives 4. Value of dividends paid to members by Cooperatives	established /set	VOCA, Regional Cooperative Promotion Bureaus (CPBs)	Baseline/targets are set for CY not FY. DQA not done.
IR3 – Rural household cash income increased/diversified	1. Household access to financial services in target areas			Indicator from the ISP
IR4 – Food, agriculture and environmental research systems in target areas strengthened	Farmer-driven master research plan designed, on-farm results reviewed, and research plans modified annually in target areas.			Draft indicator from the ISP
IR5– Dissemination of food, agriculture and environmental technology information in target areas improved	1. Number of households involved in food, agriculture and environmental technology trials and demonstrations in target areas	established /set	BoA, Winrock, Contractor	Baseline/targets are set for CY not for FY. DQA not done.

Results Framework	Indicator	Baseline/ Targets	Source of data / partners	Comment
SO 8: FAMILY HEALTH IMPROVED, ESHE-II	<ol style="list-style-type: none"> 1. Stunting among children under 5 years of age 2. Regular condom use with non-regular Sex partners 3. Contraceptive prevalence rate in focus regions. 	established/ set	DHS - Behavioral Sentinel Survey (undertaken by FHI/IMPACT) DHS	The baseline is from the DHS. Reporting of DHS data is done every five years. For BSS, every two years. DQA not done
IR1 – Increased use of high impact child survival interventions, including nutrition	<ol style="list-style-type: none"> 1. Percentage of children (aged 12 – 23 months) who received DPT3 and fully immunized in the three focus region. 2. Non polio Acute Flaccid Paralysis rate per 100,000 population aged less than 15 years, nationwide. 3. Number of children (6-59 months) receiving Vit A supplementation in the previous one year. 	established/ set	Regional Health Bureau - Annual Facility Service Statistics WHO/MOH Epidemiology Department Ministry of Health - Annual reports	Polio baseline data Provided by WHO/MOH surveillance.
IR2 – Increased use high impact reproductive health interventions, including maternal nutrition in focus regions and target areas nationwide	<ol style="list-style-type: none"> 1. Number of Couple Years Protection (CYPs) 2. Number of new family planning clients accessing facility based services in the target areas 	established/ set	CS - Quarterly reports	DQA not done
IR3 – Reduced impact of HIV/AIDS and tuberculosis	<ol style="list-style-type: none"> 1. Percentage of men (15-49 years) reporting condom use with non-regular sex partner during the most recent act of sexual intercourse. 2. Changes in the policy environment for HIV/AIDS, as measured by the API. 3. Number of health facilities with quality DOTS in focus regions. 	Established/ set	CS - Quarterly reports TB Control Board, Annual reports	DQA not done
IR4 – Increased health sector resources and improved systems in focus regions	<ol style="list-style-type: none"> 1. Per capita Expenditure in health care 2. National Health Sector budget devoted to the PPHC sector 	established/ set	National Health Accounts (NHA) Min. of Finance - Annual reports	DQA not done

Results Framework	Indicator	Baseline/ Targets	Source of data / partners	Comment
SO 9: QUALITY AND EQUITY IN PRIMARY EDUCATION SYSTEM ENHANCED (BESO II)	<ol style="list-style-type: none"> 1. Gross enrollment ratio for primary (grades 1-8), by gender nationally and in BESO regions 2. School survival rate to grade 5 by gender, nationally and in BESO focus regions. 3. Scores on Grade 4 and Grade 8 math and English standard achievement tests nationally, by gender. 	Established /set	Education Management Information System (EMIS), National Office for Examination	PMP is almost complete. DQA will be completed in 3 rd Quarter FY 2002.
IR1 – Quality of professional education personnel enhanced.	<ol style="list-style-type: none"> 1. Percent of teaching hours employing active learning methods in mathematics and English in primary schools (grades 1, 4, 8) in BESO regions. 2. Percent of supervisors collecting data on use of child-centered and active learning methods in teacher supervisory forms in USAID focus regions. 3. Percent teaching hours instructors are employing active learning methods in TTIs and TTCs 	Established /set	Annual sample survey undertaken by SO9 contractor Periodic sampling and spot-checking.	
IR2 – Teacher-learner support systems strengthened.	<ol style="list-style-type: none"> 1. Improved achievement in grade 4 in mathematics and English in schools using interactive radio instruction (IRI) methods, relative to schools that do not utilize IRI methods. 2. Percent of primary schools providing active learning modules in HIV/AIDS and civic education by region. 	Established /set	USAID/SO 9 Contractor	
IR3 – Community-government partnerships in education strengthened.	<ol style="list-style-type: none"> 1. Percent of USAID-assisted schools in focus regions that reduced drop-out rate for Grades 1-4 to at or below the national average for the year. 2. Increase in actions resulting from consultations between local government and school management committees. 3. Percent of school management committees in CGPP 	Established /set	CGPP Recipients and EMIS	

	schools that enhance the quality and equity of the learning environment		
IR4 – Systems for managing personnel, instructional materials, and M&E strengthened and used	1. Number of regional education bureaus using improved systems for a) personnel management; b) materials management; c) monitoring and evaluation	established /set	Regional Education Bureaus & SO9 contractor

Results Framework	Indicator	Baseline/ Targets	Source of data / partners	Comment
SO 10 : MORE EFFECTIVE GOVERNANCE AND CIVIL SOCIETY DEVELOPED				No SO level indicator. DQA not done
IR1 – Civil society participation increased.	1. Number of documentable advocacy actions undertaken by CSOs/NGOs 2. Number NGOs registered		Pact, CRDA, IAG	
IR2 – Judiciary and respect for human rights strengthened.	1. Number of cases reversed by Appellate Courts 2. Percentage of judges that have access to compiled Federal and Regional proclamations in their courts 3. Backlog of cases at Federal and Regional State Court levels: number and % of cases more than two years old.		Annual August Multipurpose Democracy Survey, by M&E contractor	
IR3 – Public financial resources used more effectively.	1. Extent to which the federal and regional governments and their public bodies utilize the new planning, budgeting, and accounting system 2. Public expenditure priorities reflected in the annual budget and reviewed by representative bodies 3. Average number of months for closure of accounts			

Results Framework	Indicator	Baseline/ Targets	Source of data / partners	Comment
SO 11: MITIGATE THE EFFECTS OF DISASTER, MED	<ol style="list-style-type: none"> 1. Increased percentage of vulnerable people with critical needs met 2. Nutritional status of children under 5 in target areas improved (prevalence of stunting in children 6 – 59 months) 3. Increased percentage of households maintaining productive assets during and after crises 	TBD/TBD	Cooperating Sponsors (CS): Africare, CARE, CRS, EOC, FHI, REST, SCF-US,WVE; BDP partners: REST, CRS, VOCA and COOPI	PMP is under review by a consultant. No performance data table. DQA planned to be done in 04/02
IR1 – Increased adoption of disaster mitigation measures	<ol style="list-style-type: none"> 1. Increased number of local authorities adopting and practicing mitigation measures 2. Timely early warning reports issued at national and woreda levels 3. Updated Disaster plan in place at national, regional and zonal level 	TBD/TBD	CS, BDP partners and DPPC	
IR2 – Targeted, timely and appropriate disaster response.	<ol style="list-style-type: none"> 1. Number of programs serving special needs of different target groups 2. Decrease in number of households using adverse/severe coping mechanisms 	TBD/TBD	CS and BDP partners	
IR3 – Socio-economic institutions in conflict affected areas strengthened.	<ol style="list-style-type: none"> 1. Number of people in target areas benefiting from BDP partners resettlement and peace-building activities 2. Increased number of internally displaced people (IDPs) return voluntarily to home districts 3. Number of community assets created as a result of BDP partner efforts 	TBD/TBD	CS and BDP partners	
IR4 – Transitional strategies to recovery and rehabilitation promoted.	<ol style="list-style-type: none"> 1. Number of community-level productive assets created 2. Decrease in periods of household food shortage 	TBD/TBD	CS	

Results Framework	Indicator	Baseline/ Targets	Source of data / partners	Comment
SpO 12: IMPROVED LIVELIHOODS FOR PASTORALISTS AND AGRO-PASTORALISTS IN SOUTHERN ETHIOPIA, STI	1. Household income 2. Stunting among children	TBD/TBD	LMA, GL-CRSP, SC/US DHS	
IR1 – Pastoralist and agro-pastoralist incomes increased	1. Livestock price information and dissemination system established in target areas. 2. Value of inputs marketed through targeted pastoral and agro-pastoral cooperatives/groups. 3. Number of fully self-supporting Community Animal Health Workers operating in target areas 4. Number of persons trained in business or technical skills, by gender.	established /TBD TBD/TBD	LMA – Livestock Price information system GL-CRSP SC/US sample survey	
IR2 – Increased use of maternal health and child survival and nutrition interventions	1. Percent of infants 4-5 months of age breast-fed. 2. Percent of children 6-7 months of age receiving complementary feeding in target area, by gender 3. Couple Years of Protection generated through STI implementing partners in target areas.	established /TBD	SC/US and other health partners	
IR3 – Access to appropriate basic education increased	1. Percent of schools (pastoral “schools”) that are using interactive radio in an active-learning mode in grades 1-4. 2. Gross enrollment ratio in grades 1-8 in selected zones of Somali and Oromiya Regions, by gender	established /TBD	EDC & Somali Region and Oromia REBs	
IR4 – Effectiveness of traditional dispute resolution mechanisms enhanced	Percentage of known disputes peacefully settled by pastoralists or agro-pastoralists that used the enhanced dispute resolution mechanisms.	established /TBD	SC/US	

Attachment B

Workplan for USAID/Ethiopia Performance Monitoring Plan TDY & Workshop

Date & Time	Work Performed	Expected Outcomes	Responsible Persons	Due Date
Mon. 6/3 # 1	Review Program Office (PO) TDY Expectations	Realistic view for 2- week TDY	P Delp (PO) JMason/PCChurch PMP Cons. Team	6/3/02
# 2	Review w/ PO of Team q's. re: specific SOW objectives & tasks	Clarifications of 2 objectives & 6 tasks; Review of team's prelim. Assess't of SOs/PMP status	Mekonnen (PO) Church (PC) Mason (JM)	6/3/02
# 3	Prelim. Review of MED SO status; discuss IRs3&4 & need for rev. of indicators	Documents fwd. By MED to TDY team; MED to rev. IRs3&4 with CSs; Review results f/w; validate indicators; DQA; support in conflict resolution/institl. capacity bldg. Agreement on workshop participants Review of MED on its AAD	Mekeda T T. Shortley Mekeda T/T. Shortley PC/JM	6/3/02 6/10/02 6/7 & 6/10/02 6/10/02 6/7/02
# 4	Prelim. rev. w/ ESHE SO team	Complete description of results framework for all IRs, making the linkages more transparent Fill out all IR forms completely Agreement to meet on SO/IRs DQA issues	Mary Ann Abeytu-Behnke, Eshete Yilma, K. Belay JM	6/6/02
Tue 6/4 #1	Prelim. rev. of BE & DG SOs	Agreement on need to review classroom interactivity measure & appropriate assess't. tool; Agreement on workshop participants incl. partners; Agreement on narrowing D&G focus to Financial Sector Reform & designation of pt. of contact Agreement to rev. civil society organization strengthening across SOs	K. Mullally Lissane Yohanus JM	TBD 6/4/02 6/11-12/02

# 2	Prelim. rev. of STI SO	Agreement on workshop participants Review RFA grant agreement for PMP activities Agreement to incorporate cross-cutting initiatives, including Title II Agreement to rev. results f/w, IRs, indicators Acquisition of RFA, draft performance sheets, Title II indicators	D. Cutshall, Alemayehu Reda PC/JM JM/PC	6/4/02 6/5/02 6/5/02
# 3	Prelim. rev. of RHPP SO	Agreement on workshop participants Agreement to rev. results f/w, IRs, indicators Agreement of working session agenda and dates	Kurt Rockman Metselal Abrana Tadele Selassie	6/4 6/5 6/5
# 4	Prelim. rv of DG: Finan. Sector Reform	TBD in workplan review meeting	Lissane Yohanus/JM	
# 5 4:00-6:50	Rev. Workplan with PO	Agreement on workplan and related issues, including level of detail requested	P Delp, Mekonnen JM/PC	6/4
Wed 6/5 #1 8:30-11:30	Meet with STI SOT to review PMP status and to complete Results Framework Review and to begin preparing Indicator Reference Tables	Completed Results Framework Review Indicator identification/selection and definition Baseline and targets proposed Data Quality Analysis	Phil and John D. Cutshall, Alemayehu Reda	6/6 6/6 6/6 6/6
# 2 1:30-4:00	Meet with RHPP M&E rep to review Results Framework and to review/select indicators, baselines and targets where needed	Completed Draft Results Framework Review Indicator identification/selection and definition Baseline and targets proposed Data Quality Analysis	Phil Church and Metselal Abrana	6/6 6/6 6/6 6/6
# 3 4:00-5:00	Review Access database needs	List of features that the PMP MS Access database should have and questions it should answer	Phil and Mekonnen	6/17
Thur 6/6 #1 9:30-12:00	Meet with ESHE SO to review PMP status and to complete Results Framework Review and to begin preparing Indicator Reference Tables	Proposed baselines and targets finalized Indicator References Sheets reviewed and revised Draft PMP SO document completed	John and Mary Ann Abeytu-Behnke, Eshete Yilma, K. Belay	6/7 6/7 6/7 6/7 6/13

# 2 8:30-11:30	Meet with RHPP M&E rep to review Results Framework and to review/select indicators, baselines and targets where needed	Data sources identified Data collection & schedules determined Indicator reference sheets revised and reformatted	Phil Church and Metselal Abrana	6/10 6/10 6/10
# 3 1:30-4:30	Meet with STI SOT to continue Indicator Reference Sheets completion	Data sources identified Data collection & schedules determined Baseline and targets proposed Indicator reference sheets revised and reformatted Draft PMP SO document completed	Phil and John D. Cutshall, Alemayehu Reda	6/10 6/10 6/10 6/10 6/13
Fri 6/7 #1 8:30-11:00	Meet with MED SOT to review & revise Indicator Reference Sheets	Baseline and targets proposed Data sources identified Data collection & schedules determined Indicator reference sheets revised and reformatted Draft PMP SO document completed	Phil and John and Makeda T/T. Shortley	6/10 6/10 6/10 6/10 6/13
# 2 11:30-1:00	Workshop review meeting w. key USAID resource persons	Agreement on specific role to be played in facilitating workshop	John, Phil, Ali Said, Eshete, Darlene, Mekonnen, Makeda, Peter	6/7
# 3	Prepare for PMP Training Workshop	First draft of training objectives and workshop agenda	John and Phil	6/7
Sat 6/8 #1	Design PMP workshop curriculum, small group exercises	Full workshop curriculum and exercises completed	JM/PC	6/10
# 2	Develop materials for use in workshop	Materials drafted	JM/PC	6/10
Mon 6/10 #1 10:00-12:00	Attend MED AAD Meeting	Issues addressed	JM	6/10
#2 8:00-9:00	Planning workshop logistics Production of workshop materials	Logistics arranged	Mekonnen and EXO	6/10

#3 9:00-10:00	Follow-up meeting with workshop facilitators and resource persons	Final workshop roles and responsibilities assigned	John, Phil, Ali Said, Eshete, Darlene, Mekonnen, Makeda, Peter, Darlene, Tadele	6/11
#4 1:30-3:30	Meet with MED SOT to review and finalize Indicator Reference Sheets	Baseline and targets proposed Data sources identified Data collection & schedules determined Indicator reference sheets revised and reformatted	PC and Makeda Tim Shortley	6/13
#5 1:30-4:00	Meet with BE to review classroom interactivity measure & appropriate assess't. tool and to review civil society organization strengthening across SO	Classroom interactivity measurement tool identified Approach to civil society organization strengthening across SOs identified Indicator reference sheets completed Draft PMP SO document completed	JM and Aberra	6/13 6/13 6/13
Tue 6/11 #1 8:30-4:30	Deliver workshop: Introduction to PMP Process Steps in the PMP Process Small Group Exercise: Results Framework Review (WKS 4) Indicator Identification (WKS 5) Data Quality Analysis (WKS 7)	(See agenda)	JM/PC and facilitators and resource people	6/11
Wed 6/12 #1 8:30-??	Deliver workshop (Cont'd): Introduction to cross-cutting issues Small group exercise in standardizing selected measures across relevant SOs	(See agenda)	JM/PC and facilitators and resource people	6/12
Thur 6/13 # 1 8:30-11:00	Consult relevant SO teams on cross-cutting measures Propose an approach to sharing standard indicators for all SOs	Standardized cross-cutting indicators reviewed and accepted Common shared indicator approach proposed	Mekonnen/Dr. Kassahun/Aberra (?)/Makeda/JM	6/13
#2 8:30-11:00	Meet with RHPP SOT to finalize SO PMP	Indicator reference sheets completed Draft PMP SO document completed	Phil Church and SOT	6/13

# 3 1:30-4:30	Review Access database design	List of PMP MS Access database tables and PMP report tables	Phil and Mekonnen	6/17
Fri 6/14 #1	Review & compile all SO baselines and targets Review & compile all SO PMP documents	All PMPs reviewed	Phil and John	6/15
Sat 6/15 #1	Conduct DQA for Annual Report FY 02 quantifiable indicators	Known data limitations and actions taken specified	John	6/17
#2	Review Access database design linking indicators data to MS Access	List of PMP MS Access database tables and PMP report tables	Phil	6/17
6/17 #1 10:00-12:00	Present conclusions of PMP exercise Discuss next steps	Conclusions presented and discussed Next steps recommended	JM/PC	6/17
#2 1:30-5:00	TDY wrap-up	TBD	JM/PC and SOT Leaders	
6/18 #1	TDY wrap-up	TBD	JM/PC	
6/21 #1	Submit final hard & electronic copies of completed PMPs for all Sos		JM/PC	

Drafted by JM and PC: Tuesday, June 04, 2002

Attachment C

Workshop Agenda, Participants and Evaluation

"Performance Monitoring Planning" PMP as a Tool for Managing Your Program

June 11 & 12, 2002

USAID Offices, Addis Ababa

Workshop Leaders: John Mason and Phillip Church

Workshop Facilitators: Mekonnen Ashenafi, Makeda Tsegaye, Tadele
G/Selassie and Darlene Cutshall

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Workshop Agenda

June 11 (Tuesday Morning 8:30 AM–12:15 PM)

8:30-9:30 Session #1 - Introduction to the Workshop and Participant Self-introductions
- John Mason and Phil Church; USAID Context of PMP - Peter Delp

9:30-10:15 Session #2 - Using the "Results Framework" in managing for results

10:15-10:30 Break

10:30-11:15 Session #3 - Small Group Exercise in Analyzing Results Framework using
PMP Toolkit Worksheet #3

11:15-12:00 Report out by small groups (10 mins. per group)

12:15-1:30 Lunch

June 11 (Afternoon 1:30–4:30PM)

1:30-2:30 **Session #4 - Identifying good Performance Indicators**

2:30-2:45 Break

2:45-3:45 Session #5 - Small group exercise on assessing indicator quality using
PMP Toolkit Worksheet # 5

3:45-4:14 Report out of small group work

4:15-4:30 Wrap Up and Homework Assignment for Wednesday: Bring examples of experiences in dealing with collecting and measuring indicators

June 12 (Wednesday Morning 8:30 AM-12:15 PM)

8:30-9:30 Session #6 - Assessing data quality to meet USAID reporting standards

9:30-10:15 Session 7 - Large group exercise (based on homework) to share SO team and partner's experience in assessing data quality

10:15-10:30 Break

10:30-11:00 Session # 8 - Collecting and Reporting Indicator Data Effectively

11:00-12:15 Session # 9 - Small group exercise on collecting indicator data (45 min) and report out by small groups (30 min)

12:15-1:30 Lunch

June 12 (Wednesday Afternoon 1:30-3:30 PM)

1:30-2:30 Session # 10 - Establishing concrete baselines and realistic targets

2:30-3:30 Wrap-up Session - Summary of accomplishments, next steps and workshop evaluation

PMP Workshop Participants June 11-12, 2002

#	Name	Organization	Tel.	Email
1	Mr. Wondimu Zike	SCF / US	655409	
2	Mr. Solomon Bezabih	CRS	653593	Crsetprogram@telecom.net.et
3	Mr. Mulugeta Tefera	CARE Ethiopia	463422	mulugetat@care.org
4	Mrs. Yewubdar Hailu	Winrock Int'l	655564	winrock.eth@telecom.net.et
5	Mr. Tom Tilson	AED/BESO	551108	ttilson@yahoo.com
6	Mrs. Belainesh W/Girorgis	Min. of Education	565564	
7	Dr. Gabremaskel H/Mariam	Pathfinder	613330	Ghabtemariam@pathfinder.org
8	Mr. Mengistu Buta	Africare Ethiopia	531150	afrieth@telecom.net.et
9	Dr. Enyew Adgo	Amhara Food Sec.	08200011	enyewadgo@yahoo.com
10	Mr. Tewodros Fesseha	VOCA / Ethiopia	534650	Ethiopiavoca@hotmail.com
11	Mr. Temesgen Kasse	DPPC / SERA	518050	
12	Dr. Mary Carnell	JSI		peacecorps@telecom.net.et
13	Mr. Haile Tesfay	REST	514378	rest@telecom.net.et
14	Mr. Tolesa Nuru	WVE	293358	
15	Mr. Kendie Rufael	EOC-DICAC	553566	eoc.dicac@telecom.net.et
16	Mr. Mekuanint Simachew	Livestock Mkg Au		
17	Dr. Kassahun Abate	USAID/HPN		
18	Mr. Peter Delp	USAID/PRM		
19	Mr. Mekonnen Ashenafi	USAID/PRM		
20	Ms. Darlene Cutshall	USAID/FHA		
21	Mr. Alemayehu Reda	USAID/FHA		
22	Ms. Makeda Tsegaye	USAID/FHA		
23	Ms. Gillian Brewin	USAID/FHA		
24	Mr. Monty Crisp	USAID/FHA		
25	Dr. Tadelle G/Selassie	USAID/ANR		
26	Ms. Metselal Abraha	USAID/ANR		
27	Mr. Ahmed Mohammed	USAID/ANR		
28	Mr. Aberra Makonnen	USAID/HID		
29	Dr. Tassew Zewdie	USAID/HID		

Participants' evaluation of the PMP Workshop, June 11-12, 2002

Session / Topic	Not useful	Slightly useful	Somewhat useful	Quite Useful	Highly useful
#1 Introduction/ USAID Context of PMP			3*	6	6
#2 Using the RF in analyzing results			2	6	7
#3 Small group exercise on assessing indicator quality		3	3	4	5
#4 Identifying good indicators		1	4	6	4
#5 Small group exercise on assessing indicator quality		1	5	6	3
#6 Assessing data quality		2	4	5	2
#7 Large group exercise to share experiences in assessing data quality		2	3	6	4
#8 Collecting and reporting indicator data effectively		2	5	8	
#9 Small group exercise on collecting indicator data		2	5	4	4
#10 Establishing concrete baselines and realistic targets		3	3	5	4
Over all rank		1	3	7	4
Total number of respondents = 15					
Topics to learn more about	#2=2; #3=1; #4=4; #6=3; #7=1; #8=3; #9=1; #10=7				

* Frequency / count

Remarks (as copied directly with no edits)

- Make such workshops annual events. Give more time for realistic case studies, 4-5 days. Generally, it is a very good workshop; objectives met in short time.
- Case studies or using existing tracking indicators, more examples
- More time allocation and to use real life examples
- Need assessment is very important to know the learning needs (gaps) of customers. Necessities of customers during workshop need to be understood during the workshop (like receptions, per diems)
- Good job. Appreciated learning about USAID/Ethiopia program for disasters through using their PMP as an exercise. Nice mix of sectors. Would like a senior managers meeting across sectors where PMP share to better understand sector synergies potential.
- It will be very important to provide basic knowledge in setting PMP system from the point of view of different thoughts.
- Need more training on data collection methodologies and sampling techniques.
- Examples should be well planned and realistic so that participants feel these are from real world. It would be good if more time to analysis and reporting indicator data.
- Perhaps it would be necessary to have a follow on workshop since we are (Title II assisted cooperating sponsors) are in the process of standardizing indicators and establish baseline
- Perhaps more attention to softer (or broader) objective such as increased learning or changed classroom interaction, especially when we want to look at national trends, but when the USAID interventions are only part of the reform efforts.
- There should be follow on sessions that build on this and give deeper insight and skills.
- Please take time and gather information on Ethiopia's conditions and USAID's various programs. The examples you have in the notebook are unrealistic., which resulted in unnecessary discussion and waste of time. Make the workshop complete by reflecting partners interests and understand their way of conducting PMP.
- More of in-depth analysis regarding some sessions such as baseline and targets is important.

Annex C1. Powerpoint Presentation of PMP Workshop (see separate file)

Attachment D

USAID/Ethiopia Preliminary PMP Database Design

Introduction

The USAID PMP process will generate on a regular basis a significant volume of quantitative and qualitative information that requires systematic management. One tool critical to an effective PMP system is a computer-based database that supports cost-effective and timely data compilation, storage, updating and reporting of performance measures. Such a database tool should meet the following criteria:

- User friendly – Must be a menu-driven system usable by non-technical as well as technical staff and should include online "Help" and "Tutorial" options
- Distributable - May be accessed by several users from their own desktop computers
- Compatible with mission EDP system – A test for this is capacity of the current Mission EDP system to support an R-4 MSAccess database
- Easily maintained – Current mission EDP technical support staff can support the database system with minimal cost and training requirements

The USAID Mission proposes using an MSAccess relational database to support its Performance Monitoring Planning. During its technical assistance mission, the PMP development team asked Mission staff what features they would want a PMP/DB to have. Their responses included:

- Ease of data entry – The PMP/DB must be able to prompt data entry in a fashion that is clear and unambiguous
- Adaptable for each SO's needs - Many SO/IR indicators are complex in nature and disaggregated into special categories – e.g., gender, woreda, zone and region.
- Ease in report generation – Users want to have a range of reports created from the database and want to be able to select among these using basic descriptive menus
- Quick to learn and master – Can be mastered with modest amount of training and contains its built in tutorials
- Transparent and accessible – Several SOTs clearly intend to keep their own SO/IR indicator data files on a common drive in spreadsheet formats as a back-up because they do not yet have confidence in the dependability of a centralized PRM Office system
- Adaptable to program changes – For example, as new reporting requirements emerge, can the PMP/DB be modified to meet those needs?

An MSAccess-based PMP database does have limitations. Many Mission performance indicators are calculations involving more than one measure and drawing from more than one data source (e.g. access to basic education is measured as a ratio of kids in school from administrative records to total school-age population from population census estimates. An

MSAccess database has limited capacity to manipulate raw data of this nature. Data entry must be limited to calculated indicators only.

This “Preliminary PMP/DB Design” attachment contains the following components:

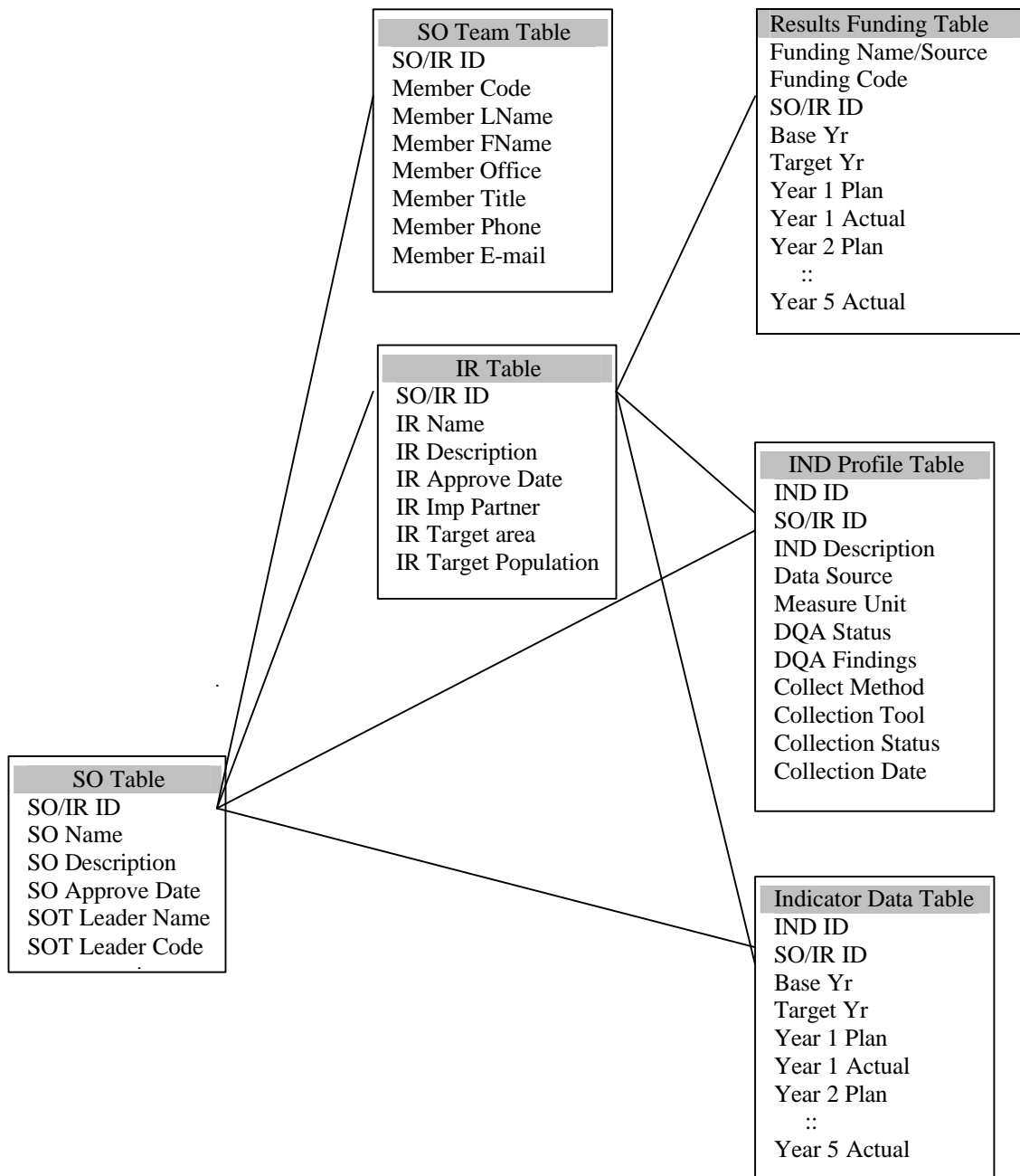
- Descriptions of proposed PMP/DB MSAccess data tables and their relationships
- Descriptions of MSAccess “Forms” screens for data entry
- Descriptions of MSAccess “Report” generation screens
- Selected sample PMP Report table output
- Scope of Work (SOW) for a PMP/DB development, deployment, testing and training consultancy

Description of proposed PMP/DP data tables and their relationships. The PMP/DB will house a considerable volume of data in a range of types and measures. The following is a brief descriptive list of each proposed PMP/DB Tables as identified in discussions with USAID/Ethiopia Mission staff:

- Strategic Objective Table – Contains the Strategic Objective name and code and code for the SOT leader
- Strategic Objective Team Table – Contains names, positions and contact information about all SO team members and coded by SO
- Intermediate Result Table – Contains full IR statement, IR code and SO code along with definitions of the intermediate result
- Intermediate Result Funding Table – Contains SO/IR code, funding type name and code, and data on dollar amounts for all fiscal years including baseline and target years in the database
- Indicator Reference Table – Contains indicator statement, indicator code, SO/IR code, and much of the information contained in the PMP “Performance Indicator Reference Sheet (Toolkit Table #6). In addition to indicator definition, the table will record methods and schedules for data collection, data collection responsibilities and other relevant information for interpreting indicator measures. Note: This table will be used to create the Report Table Column and Row headings and other descriptive features.
- Indicator Data Table – Contains indicator name and code, baseline and target data and respective dates for each month, year or other time period as defined in the Indicator Reference Table. Note: This is the heart of the data base where numerical or qualifier information is housed to track change.

The following graphic lays out the relationships between tables in the PMP MSAccess database.

PMP MSAccess Database Design – Data Table Relationships



Description of MSAccess “Forms” screens for data entry. MSAccess "Forms Screens" are used for data entry. They are menu driven with controls to correct for data entered in erroneous format or beyond acceptable ranges. The range of quantitative and qualitative measures across mission SO and IR indicators suggests that a series of tailored data entry forms will be required to accommodate such factors as disaggregated data by gender and geographic area. The user will select the appropriate data entry form from a menu of forms associated with particular SO and IR indicator. Each tailored SO or IR data entry form will present the user with a series of data entry windows in which to key in data. The form will permit the user to update but not edit data already in the database.

Descriptions of MSAccess “Report” generation screens. MSAccess "Report Screens" are used for extracting statistics and other information from the database and presenting it in preformatted tables and graphs. These tables and graphs can be designed to draw data from any of the MSAccess tables in the database. This preliminary design proposes the following tables for initial design and deployment:

PMP Data Status Report: This report table will permit assessing that status of indicator measures entered in the database. It will provide an "inventory" of data tagged by date of entry. It will flag indicators for which data have not been entered by the agreed due date as means of identifying where actions need to be taken to obtain delinquent information. This report is used essentially by PRM as a database management tool.

PMP Indicator Profile Report. This report will summarize the indicator and the current status of its monitoring. In large measure it will be an approximation of information contained in the PMP Toolkit Table 6. It will report on PMP actions to be taken such as next DQA to be conducted, any changes in USAID or partner staff responsible for data collection, etc. This report also is a PMP database as well as a PMP process management tool for PRM.

PMP Performance Report. This report will summarize quantitative and qualitative change in performance indicators for each SO and IR. It will be menu driven to permit the user to select the SO or IR of interest. This table will be the basic PMP management table used by SOT's and the PRM office to monitor performance. Special features to include in this table will be menu options to permit reporting the data:

- Disaggregated by gender, region or other category as defined in the database
- For selected years
- As a percent of the baseline or target years
- As a percent of a linear baseline/target year trend line.

Selected sample data table output. Attached are two tables generated from the current Mission R4 MSAccess database. They represent the type of narrative and numerical information which will be pulled from the PMP database for reporting on performance.

Performance Data Table
Fiscal Year: 2003

Objective Name: Enhanced household food security in target areas
 Objective ID: 663-005
 Approved: 1997-02-14
 Country/Organization: USAID Ethiopia
 Result Name: IR 5.1 Increased Agricultural Crop Production in Target Areas
 Indicator: Increase in yield for main crops in target areas: Teff
 Disaggregated By: Crops

Unit of Measure: Kilogram/Hectare

Year	Planned	Actual
1996 (B)	NA	450
1997*	NA	360
1999	463.5	441.2
2000	477.0	537.2
2001	540.0	NA

Source: Cooperating Sponsors' baseline surveys and annual result reports.

Indicator Description: Total production divided by total cultivated land in target areas.

Comments:

- Increase in yield is measured by 5 (five) major crops in target areas i.e., Maize (M), Teff (T), Wheat (W), Barley (B), Sorghum (S)
- The 1997 figure for this indicator was aggregated from data obtained from three cooperating sponsors (Food for the Hungry International, Catholic Relief Services and CARE). Performance data for 1999 include Food for the Hungry International, Catholic Relief Services, Ethiopian Orthodox Church, World Vision International, and CARE. Performance data for 2000 include Food for the Hungry International, Relief Society of Tigray, Ethiopian Orthodox Church, World Vision International, and CARE.
- Data on impact indicators are collected for baseline, mid-term and end of program. Therefore, data for the interim period is not available.
- Target for FY 2001 was adjusted based upon the progress made in FY 2000.

Draft Scope of Work (SOW) for a PMP/DB development, deployment, testing and training consultancy.

USAID/Ethiopia seeks the services of an experienced MSAccess database software developer to assist the mission in building, deploying, testing and training staff in the use of a MSAccess database in support of its Integrated Strategic Plan Performance Monitoring System.

Database Functionality. USAID/Ethiopia and its partners collect and report on a range of quantitative and qualitative program performance measures requiring a database design robust enough to accommodate the needs and circumstances of a range of users. While the volume of statistical and narrative data is not large, formats vary widely among objects being recorded in the database. Frequency of reporting and forms of disaggregation must also be factored into database design.

This SOW is for a three-week consultancy by an MSAccess expert to undertake the following tasks:

- Review USAID ISP, SO PMP and related documents to understand the nature of the data to be collected and reported using an automated MSAccess database system;
- Review preliminary designs for the PMP MSAccess database and propose any modifications.
- Build the Data Tables, Data Entry Forms and Query Reports for the PMP database
- Deploy and test the PMP database system using sample data from each SO to enter data and produce basic query report tables
- Train USAID systems mgrs and PRM office staff in PMP Database maintenance, modification and updating.
- Train USAID SO Team M&E staff in PMP Database operations - data entry and report generation.

The consultant should have expertise in MSAccess database design and development. Familiarity with USAID operations and with the Ethiopian setting is a plus. The consultant will be supervised by the PRM Monitoring and Evaluation Specialist.

Approximately three 6-day weeks should be budgeted for this activity. USAID will provide all logistic support including computer hardware and software for database design and development.

Attached to this scope of work are five Strategic Objective PMP's with their Indicator Data Reference Sheets containing information about the types of indicator data that will be included in the data base, the units of measure, frequency of collection and reporting and the level of disaggregation with which the data are to be recorded and reported.

Annex E

A Format for Annual Collection of Agencywide Performance Measures

The following Format for Data Collection of Agencywide Performance Measures provides a simple way to access annual performance data required under the Agency's GRPA reporting requirements. According to ADS guidance, performance data tables along with narrative are required of each Operating Unit (OU) so as to be able to provide Washington with adequate program information so that the latter can make reasoned budget decisions. The Format, consisting of two tables, also serves, along with other documentation, to meet the possible eventuality of an audit. As noted in ADS guidance, "To fulfill the Agency's GPRA reporting requirements and for use in the Annual Performance Report, all Operating Units must complete a table on "Selected Performance Measures." Furthermore, if an OU's measures at either the SO or IR level match an indicator in the Selected Performance Measures Table, then it must report its progress on that indicator. All of this presumes a data quality assessment has been made for each indicator.

The process of developing the following Format for Data Collection of Agencywide Performance Measures was to use Tables 1 & 2 from the Annual Report Selected Performance Measures. Simply, indicators from those tables were transposed to the Format, each indicator was then assigned attribution to a particular strategic objective, a precise data source was designated and, finally, a brief statement on data availability and quality was provided.

This Format does not pretend to be the full answer of how to access the required data. Rather, it provides a systematic approach to assigning responsibility to an SO Team as to what indicators it must report on. It also indicates where the relevant data can be located and describes briefly some of the issues involved in data quality for each indicator.

Further assistance will be necessary to bring this Format online with other aspects of annual reporting. Since at least some of the indicators are the same as those in the PMP, SO teams should be able to feed them electronically into the annual reporting tables. Those indicators in the Annual Selected Performance Measures that are not present in the strategy will have to be incorporated into the electronic reporting format as a separate function.

Please see Annex ___ for additional background information and guidance on Annual Report Part IV: FY 2001 Performance Data Tables and Results Frameworks.

Format for Data Collection of Agencywide Performance Measures

Indicator	USAID/ Ethiopia Strategic Objective	Data Source	Data Availability & Quality
TABLE 1			
1. Did your operating unit achieve a significant result working in alliance w/ the public sector or NGOs? a. How many? 2. How many planned? 3. What amount of funds leveraged by USAID contribution?	RHPP BESO	ACDI/ VOCA AED (?)	Data collection & analysis needs to address results: e.g., how many loans the Bank of Abyssinia made to the agricultural coops? Also depends on definition of 'significant' (applicable to all such definitions of significant) Data should be available for 03 reporting What did alliance w/ US & Ethiopian Universities result in? Data available for 03 reporting
4. If you have an SO or SOs linked to the EGAT pillar, did it/they exceed, meet, or not meet its/their targets? Rural H/H Production and Productivity increased Quality & Equity in Primary Education System increased	RHPP BESO	VOCA AED (?) EMIS	No data provided in 02. How much production marketed? What was the growth in agricultural enterprises? Results data should be available from this SO No data provided. Data should be available from this SO on both quality & equity for 03 reporting
5. Did your program achieve a significant result in the past year that is likely to contribute to Critical, private markets expanded & strengthened	RHPP	VOCA	No data on coffee market trend. Data on Coffee Co-ops should be available for 03 reporting (?) Constraint of falling world coffee prices will affect magnitude of results
6. Did your program achieve a significant result in the past year that is likely to contribute to the objective of More rapid & enhanced agricultural development & food security developed?	RHPP STI	VOCA TBD	No data reported. Quantitative data available on RHPP Before adopting this indicator, STI will need to have a more operational definition in place
7. Did your program achieve a significant result in the past year that is likely to contribute to the objective of increased production and income?	RHPP	VOCA	No data provided. Data should be available or # of loans to Co-ops and impact on Co-op production and income
8. Did your program achieve a significant result in the past year that is likely to contribute to the objective Access to quality basic education for under-served populations, especially for girls and women expanded?	BESO STI	AED (?)/ EMIS Future Partner EMIS AED/	Data available and provided for 02; should be available for reporting in 03. A sub-sample of EMIS sampling framework could be considered Data should be available for 03 reporting
9. # of children enrolled in primary schools affected by USAID basic education programs	BESO STI	EMIS Future Partners	Data should be available for 03 reporting Data should be available for 03 reporting
10. Did your program achieve a significant result in the past year that is likely to contribute to the objective, World's environment protected? a. Hectares under approved management plans	STI RHPP STI MED	Future Partners VOCA (?) Future Partners Future Partners	Data should be available for 03 reporting Data should be available for 03 reporting Data should be available for 03 reporting No data provided 02. Indicator only tentative pending specified activities in place

	RHPP	VOCA	No data provided. Data should be available for 03 reporting Data should be available for 03 reporting
12. Did your SO link to the Global Health pillar to stabilize population, improve child health, improve maternal health, address the HIV/AIDS epidemic, and reduce the threat of other infectious diseases --Improved Family Health	ESHE ESHE	JSI DKT Path-finder	No data available. Results data should be available for 03 reporting (includes DHS reporting) No data available. Results data should be available for 03 reporting (includes DHS reporting) No data available. Results data should be available for 03 reporting (includes DHS reporting)
13. Did your program achieve a significant result in the past year that is likely to contribute to the objective of Reducing the # of unintended pregnancies	ESHE	Path-finder/ DKT	No data provided. Results data should be available for 03 reporting (includes DHS reporting) No data provided. Results data should be available for 03 reporting (includes DHS reporting)
14. Did your program achieve a significant result in the past year that is likely to contribute to the objective of Reducing infant & child mortality	STI MED ESHE	Future Partners Future Partners JSI	No data provided. Stunting data should be available for 03 reporting (includes DHS reporting) No data provided. Wasting data should be available for 03 reporting (includes DHS reporting) No data provided in 02. Stunting data should be available 03 (includes DHS reporting)
15. Did your program achieve a significant result in the past year in contributing to the objective of reducing deaths and adverse health outcomes to women as a result of pregnancy at childbirth?	ESHE STI	JSI Future Partners	DHS is the data source for this indicator. Sub-sets of data could be used to more closely reflect USAID's program (includes DHS reporting) No data provided 02. Indicator only tentative pending specified activities in place (includes DHS reporting)
16. Did your program achieve a significant result in the past year in contributing to the objective of reducing the HIV transmission rate & the impact of HIV/AIDS pandemic in developing countries	ESHE	Ministry of Health	Data reflect USAID support of social marketing of condoms in focus areas. Need to monitor GOE Policy Evaluation Score
17. Did your program achieve a significant result in the past year in contributing reducing the threat of infectious diseases of major public health importance?	ESHE	TB Control Board (TBCB)	Reporting on USAID assistance to TB campaign should be reported on for 03 reporting; data should be available in TBCB annual report
18. If you have an SO or SOs linked to the Democracy, Conflict & Humanitarian Assistance pillar, did it/they exceed, meet, or meet its/their targets? a. More effective governance & civil society developed b. Mitigate the effects of disaster c. Improved livelihood for pastoralists & agropastoralists in S. Ethiopia	MED STI DG MED STI	Future Partners Future Partners HarvU DPPC & Future Partners FEWS Future Partners	Data will be available for 03 reporting (see a, b, & c. below) Data on Civil Service Reform program should be available & used for reporting for 03 Data should be available from DPPC reports and from partners for 03 reporting Data should be available for 03 reporting Data should be available for 03 reporting
19. Did your program achieve a significant result in the past year in contributing to the objective of Rule of law & respect for human rights of women as well as men strengthened?	DG PRM	Min. of Justice	Data should be available for 03 reporting but program ends in 02
20. Did your program achieve a significant result in	N/A	N/A	N/A

the past year that is likely to contribute to the objective of Credible & competitive processes encouraged?			
21. Did your program achieve a significant result in the past year in contributing to the objective of The development of politically active civil society promoted?	DG	PACT	Data should be available for 03 reporting but program ends in 02
22. Did your program achieve a significant result in the past year that is likely to contribute to the objective of More transparent & accountable government institutions encouraged?	DG	HarvU	Data available on Decentralization Support, including Civil Service Reform activity for reporting in 03.
23. Did your program in a pre-conflict situation achieve a significant result in the past year that is likely to contribute to the objective of mitigating conflict?	MED STI	Title II BDP STI Partners	Data should be available for 03 reporting Data should be available for 03 reporting
24. Did your program in a post-conflict situation achieve a significant result in the past year that is likely to contribute to the objective of mitigating conflict?	MED	Title II BDP	Data available on #s IDPs assisted will be available in 03 (see # 25 below)
25. Number of refugees and internally displaced persons assisted by USAID?	MED	Title II BDP	Numbers for N. border available for 01. New data should be available for N. border for 03 (based in part on UN, NGO partner, and GOE reports)
26. Did your program in a post-conflict situation achieve a significant result in the past year that is likely to contribute to the objective of Humanitarian assistance following natural or other disasters?	MED ESHE	Title II BDP DPPC JSI/ DPPC JSI/ (?)	FFP Title II development & emergency data or support on affected peoples (incl. drought-affected, reported in 02. Data will continue to be available in 03 in form of #s people assisted)
27. # beneficiaries	MED STI ESHE	Future Partners/ DPPC DPPC	FFP Title II development & emergency data or support on affected peoples (incl. drought-affected, reported in 02. Data should continue to be available in 03 in form of #s people assisted)

Indicator	USAID/ Ethiopia Strategic Objective	Data Source	Issues of Data Quality
TABLE 2			
1. % in-union women age 15-49 using, or whose partner is using a modern method of contraception at time of survey? (DHS)	ESHE	DHS Path- finder FHI	Data reported for 02. Estimates for 03 to be extrapolated from DHS for national level and on subsets from partners based on subsets
2. % children age 12 mos. Or less who have received their 3d dose of DPT	ESHE	DHS JSI	National level data for 03 will be based on estimates of trend data from DHS
3. % children age 6-59 mos. who have had a case of diarrhea in the last 2 weeks & received ORT?	ESHE	DHS JSI	National level data for 03 will be based on estimates of trend data from DHS
4. % children age 6-59 mos. receiving vitamin A supplement during the last 6 mos.?	ESHE	DHS JSI	National level data for 03 will be based on estimates of trend data from DHS and from sub-samples from USAID-assisted programs
5. Were there any confirmed cases of wild-strain polio transmission in your country?	ESHE	WHO UNICEF JSI	Polio vaccination coverage data presented in 01. Available from national level polio data from WHO report.
6. % births attended by medically trained personnel?	ESHE	DHS JSI	Reported for 01. Estimates should be derived from DHS trend data for 03 reporting
7. # insecticide impregnated bed nets sold	N/A	N/A	N/A (anti-malaria approach)
8. Proportion of districts implementing the DOTS TB strategy	ESHE	JSI	Variance of sub-district coverage to be strengthened through USAID support in selected districts. National level data to be supplemented by sub-district sampling
9. Total condom sales?	ESHE RHPP	DKT Path- finder VOCA	Numerical data reported for 01/02. 03 data for USAID target areas should be available 03 data for USAID target areas should be available
10. # Individual treated in STI programs	ESHE	Path- finder	02 data reported for focus areas. Combined with national data for 03, subset from focus area should be available for reporting
11. Is your operating unit supporting an MTCT program?	ESHE		No government protocols for MTCT established for MTCT
12. # individuals reached by community & home based care programs	ESHE	FHI	Data should be available for 03 based on USAID-support in focus areas
13. # orphans & vulnerable children reached	N/A	N/A	N/A
14. # individuals reached by antiretroviral treatment programs	N/A	N/A	N/A

Annex F

Cross-Cutting Themes and Measures

The following matrix reviews those themes and accompanying indicators that are shared among one or more Strategic Objectives.

Some of the indicators are standard measures, accepted by most experts in their respective fields. For example, measures of HIV/AIDS prevention and some aspects of nutrition (stunting and wasting) are widely accepted measures. Even for such a standard measure as stunting, however, there is not always full agreement, as noted in the different definitions used by ESHE and STI.

Capacity building as a cross-cutting theme and measure is another matter, for reasons that there are many different kinds and situations involving the building of organizational and institutional capability. The matrix represents an effort to list and assess the five cross-cutting themes and accompanying indicators that inform USAID/Ethiopia's strategy. These five themes are HIV/AIDS, nutrition, Title II Food, capacity building, and gender. They are presented in relation to the SOs that share them, the actual or proposed indicator, data sources, and issues of data quality.

Recommended Next Steps

- Relevant SO teams and PRM should agree on how to aggregate their measures at the SO level so that they can report consistently across SOs, with the following SO teams taking the lead in coming to some consensus
- ESHE should take the lead on the HIV/AIDS and nutrition themes/measures
- BESO should take the lead on the capacity building theme/measure
- MED should take the lead on the Title II theme/measure
- PRM should take the lead on the gender theme/measure

Where congruity of measures is not feasible because of differences in the criteria for measuring a specific variable, those differences should *not* be resolved just to satisfy a reporting requirement. If it is feasible to report on the same variable twice (using different criteria for each variable), however, without too much level of effort, then it might be possible to satisfy both needs.

USAID/Ethiopia Cross-Cutting Themes & Indicators Matrix

Cross-Cutting Theme	SOs Sharing Common Indicators	Indicator (s) Actual/Proposed	Data Sources	Issues of Data Quality
1) HIV/AIDS	ESHE	a) Regular condom use with non-regular sex partners (actual)	Behavioral Sentinel Survey/FHI-IMPACT	While commonly used as an indicator of HIV prevention, it does not capture changes in sexual behavior ? Not yet fully developed
	MED RHPP	b) Regular condom use with non-regular sex partners in focus regions & target areas nationwide (actual)	Future Partners ?	
	ESHE	c) AIDS Program Effort Index (actual)	?	
	STI	% population who can identify 2 or more correct methods of reducing risk of HIV infection (actual)	Title II Partners	
2) Nutrition		(Objective: reducing infant & child mortality) Nutritional status of children under 5 improved		Standard measures Stunting and Wasting data should be available for 03 reporting (includes DHS reporting)
	MED	a) Wasting: # children 6-59 mos. of age w/ weight-for-height below minus two Z-score, divided by total # children 6-59 mos. Of age (disaggregated by age group & gender & expressed as a %) (actual)	DPPC, DHS & Title II Partners	This is a measure for the MED strategic objective of Mitigating the Effects of Disaster. Includes strengthening DPPC Early Warning System. It fits well with the Title II food emergency & development activities falling under the strategy
	STI	b) Stunting: # children 24-59 mos. of age w/ height-for-age below minus two Z-score, divided by total # children 24-59 mos. of age (actual)	DHS & Future Partner and Title II Partner	This is a proxy for the SpO: Improved livelihood for pastoralists & agropastoralists in S. Ethiopia. It is a reasonable indicator for Title II food programs
	ESHE	c) Stunting: % of children 6-59 mos. whose height-for-age is less than 2	DHS & Title II Partners	Standard measure used by DHS

	RHPP	<p>standard deviations (SDs) from the median of the International Reference Population of CDC/WHO for that age group (disaggregated by gender & region) (actual)</p> <p>d) Stunting: # children 24-59 mos. of age w/ height-for-age below minus two Z-score, divided by total # children 24-59 mos. of age (actual)</p>	DHS & Title II Partners	Standard measure used by DHS
3) Capacity Building	BESO	[Objective: an organization or institution's increased capacity to provide quality & effective services, including programmatic and organizational sustainability]	AED (?)	<p>Definition includes: Administrative & support functions (financial resources management); Service delivery; Human resources management; Strategic management; Technical/Program functions</p> <p>Measurement issues include: comparability across organizations or groupings, looseness of definitions of capacity areas & criteria for measurement; comparability over time, method of collecting data, objectivity, quantification</p>
	ESHE		JSI (?)	
	MED	<p>Yes/No--Regulations enacted to allow revenues to be retained & utilized at the facility level (actual)</p> <p>Yes/No--Non-salary cost expenditures through retention of fees in health facilities (actual)</p> <p>Yes/No—Annual increase in recurrent budget allocations in focus regions (actual)</p> <p>Yes/No—Woredas using HMIS for planning purposes in focus regions (actual)</p>	Title II Partners	
	STI		Future Partner and Title II Partner	
	RHPP		Title II Partners	
	ESHE		JSI (?)	
			JSI	
			JSI	
			JSI	
	MED	% households that have timely access to early warning information(actual)	DPPC	
	ESHE	<p>% teaching hours employing active learning methods in mathematics & English in primary schools (actual)</p> <p>Increase in actions resulting from consultations between local government and school management committees</p>	AED (?)	

	(Potential)	# institutions/organizations meeting at least 80% of targeted improvements (potential)	None	
	(Potential)	# governmental units displaying improved practices, e.g., transparent financial systems, agreed on organizational procedures, accountability, by-laws & elections (potential)	None	
4) Title II	STI	(Objective: reducing infant & child mortality) Nutritional status of children under 5 improved (see nutrition above, # 2) % children receiving home prepared complementary food	Future Partner and Title II Partner	Title II programs are used in both emergency and development programs. For the latter, the object is to save livelihoods, through general and supplemental feeding. For promoting development, Food for Work is often used.
	MED	# vulnerable people with critical needs met % most vulnerable persons reached by emergency assistance	DPPC, Title II Partners	
	STI RHPP	# special target populations provided w. emergency assistance (women children under 5, elderly, disabled)	Title II Partners Title II Partners (?)	
5) Gender	STI MED RHPP BESO ESHE	#/%activities/programs/services, etc. disaggregated by gender	Title II Partners Title II Partners Title II Partners (?) AED DHS	Disaggregated for purposes of access/equity to schools, employment, health services, etc.
	MED	# special target populations provided w. emergency response	DPPC	Disaggregated for purposes of access/equity